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ARCHIVES

As defined by the Civil Service Commission for the Archivist of the United States, Archives are "(1) those bodies of non-current permanently valuable records that form useful evidence of the organization, functions, policies, decisions, procedures, operations or other activities of Federal Agencies or very important Federal Officials, or (2) those records that must, or should, be preserved for their informational content....Archival records document official actions and serve as sources for official reference in the prosecution of the affairs of Government by providing a record of past actions. The information contained in Archives is essential to historians, political scientists, economists, sociologists, or other scholars engaged in study in various aspects of our society."

Professional archival work involves the following broad, but not mutually exclusive, functions:

- (1) Appraisal and disposition
- (2) Arrangement and description
- (3) Preservation and rehabilitation
- (4) Documentary publication, historical editing,
and exhibit of archival materials
- (5) Reference service

A sampling of these functions are described below to further clarify the professional distinctions between Archivists and Records Management Officers:

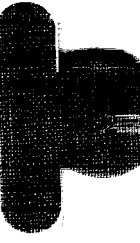
- (1) Records appraisal and disposition involves the analysis and evaluation of inactive records to determine their continuing value and to provide advice or make decisions about their destruction or permanent retention. Archivists employ a comprehensive knowledge and understanding of the history, organization, and operations of the Agency; the legislative authorities and responsibilities of the Agency as these relate to the development and retention of records; the organizational, functional and records relationships of the Agency to other Agencies and activities in the intelligence community and federal government at large; and the needs of the scholarly community.

(2) Archivists engaged in records arrangement study the origins, the organizational and functional history and administrative procedures of the producing units. They analyze the records to decide the arrangement that will best reveal their character and significance; protect their integrity as historical evidence of organization and function; and facilitate their location, description, and use.

(3) Preservation involves safeguarding the archival material from deterioration or impairment of their value through alteration. It considers the condition of the records; the nature of their evidential or informational value; the extent of their use; and the cost of repair and rehabilitation.

(4) Archivists involved in publication work carefully study the documents to be published to resolve questions of origin and authenticity. They employ a thorough knowledge of the substance of the documents and persons, circumstances, or events to which the documents relate.

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MEMORANDUM FOR : Deputy Director for Intelligence
Deputy Director for Plans
Deputy Director for Science & Technology
Deputy Director for Support

SUBJECT : Archives, History, and Records

1. Considerable study and discussion has taken place of the Agency Historical Program, and the Records Management and Archives Programs. This memorandum will outline a basic approach to the interrelationship of these three subjects in an effort to improve the Agency's performance in all these fields.

2. In essence, the three subjects all record our experience to make it available for future use as required. This use includes file searches for current operational support, briefing and training new personnel, answering press or Congressional questions as to the Agency's role in earlier events, etc. The problem is to design a system which will satisfactorily answer the needs of the future in these fields with a minimum expenditure of man hours and funds at present. In these days of declining personnel ceilings, we obviously cannot dedicate large amounts of current manpower to making immediately available detailed answers to all contingent questions. On the other hand, some records have direct value to future operations and certainly our need to handle press or Congressional questions warns us of the need to devote an appropriate effort in this direction.

3. In our approach to this problem in this internally compartmented Agency, it is essential to decentralize much of the responsibility and most of the actual effort. At the same time, this decentralization needs to be matched by a reporting system which will indicate the degree to which minimum standards are met by all units, and a mechanism by which units can profit by interchange of experience and by sharing solutions.

4. In our analysis, we must clearly recognize different kinds of records material and the different purposes we expect them to serve. Some of our records are important basic reference tools, e. g., CI files.

Some are analyst working files of moderate life requirements. Some are formal publications of the Agency distributed elsewhere in the government with source sanitization. Some are operational records and documents. Some of our reviews of past events are essentially chronicles of these events, which have value to new arrivals. Some should be analytical reviews drawing lessons and conclusions. Our system should reflect these differences if it is to do the job needed.

5. The following over-all approach to this situation has been developed for implementation through the mechanisms indicated;

(a) Records Management

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*Command
vs
administration*

(1) The Records Management Board, with representation from each Directorate, will report its conclusions, recommendations, etc., (with any dissents) directly to the Executive Director. The Deputy Director for Support will remain administratively responsible for the over-all Records Management Program while each Directorate will remain responsible for the Records Management Program within its own Directorate. The Chairman of the Records Management Board will be the Agency Records Administration Officer, administratively responsible to the DSS through the Support Services Staff. The Records Management Board will make semi-annual reports to the Executive Director, outlining the status of the Agency's Records Management Program, any problems it is experiencing and its recommendations for improvement of the program (including reports on Records Management to be submitted by the Directorates). The Executive Director will consult with the Deputy Directors before implementing any such recommendations.

(2) The Agency Records Administration Officer will be a non-voting member of the Agency Information Processing Board, with authority to submit agenda items and recommendations to the Information Processing Board. He will particularly bring to the attention of the Information Processing Board those aspects of the Agency's Record Management Program which should be considered by the Information Processing Board, with any recommendations for support of the Agency Record Management Program requiring Information Processing Board action. He will similarly make available to the Records Management Board all information coming before the Information

Processing Board which might be of value or be appropriately considered by the Agency Records Management Board and its members.

(3) The Records Management Board will develop recommendations as to categories of Agency records (such as the categories in para 4 above, plus any others deemed appropriate) and as to specific guidelines for the selection and retention of records in these categories. These guidelines should also where appropriate include time periods for retention by category and indicate disposition thereafter, and include appropriate measures to comply with legal and Executive requirements for retention and declassification. In particular, recommendations should be made as to the identification of categories which might appropriately be retired as classified Government documents under GSA auspices or passed to the National Archives, rather than held solely under CIA control to protect intelligence sources and methods.

*Not a substitute
for history - another
burden -*

(b) Annual Reports. To provide the necessary chronicle of of the Agency's activities at minimum expenditure of effort, a system of annual reports of the units and offices of the Agency will be developed. These will be a part of the annual program proposal submitted by these units in response to the program call, covering significant events within the unit during the previous year. The identification of the elements to submit these annual reports and an outline of their format will be developed by the Office of PPB in coordination with the Deputy Directors. These annual reports should highlight major accomplishments, major problems and over-all conclusions and recommendations for future action in the unit itself or by elements supporting or associated with it.

(c) Archives

*should not be
an annual exercise -
should be continuing
day by day -*

(1) In the process of compiling its Annual Report, each unit submitting such a report will identify its key documents for the year in question for permanent inclusion in Agency Archives. The Records Management Board will develop the system or systems by which such documents can be identified on a systematic basis during the year for reference in the Annual Report. The Annual Report will provide an occasion for an over-all review to insure that the documents marked for archival retention are neither excessive in detail nor incomplete through omissions.

(2) An Agency Archivist will be appointed to supervise the Agency's Archives Program, and will report directly to the Executive Director. He will be a member of the Agency Records Management Board and will coordinate the execution of the Archives Program through this Board. He will also work in close coordination with the Agency Records Management Officer and the Agency Historian. Archivists will be appointed by the Deputy Directors in their Directorates to supervise this program in the Directorate. No additional spaces will be made available for these Directorate posts and initially they need not be full-time if the functions can be handled on a part-time basis (e.g., by the Directorate Records Management Officers). The Agency and Directorate Archivists will supervise compliance with over-all Agency Archives regulations to be drawn up and issued after consultation with the Deputy Directors. A semi-annual report to the Executive Director on the Archives Program will be prepared and coordinated with the Records Management Board.

(3) Arrangements will be made for the segregation of archival documents from those held for Records purposes, in order to permit the automatic retirement and disposition of records without loss of the key archival documents. Archives will be physically held by the Records Management Officer in the Records Center, under guidelines established by the Agency Archivist.

(4) The Annual Reports will provide basic indices of archival documents for future reference.

(d) History

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The major thrust of the Agency Historical Program will be placed on the development of analytical histories of important Agency activities and operations. The "Office History" approach to date, which has been largely successful in bringing our history up to 1965, will no longer be the major focus of the program, as the chronicling of future Agency activity will take place under the annual report system outlined above. Thus, future Agency histories will take major subjects of Agency activity and analyze the ways in which the various elements of the Agency worked together to produce the over-all Agency contribution to the operation in question. There will be some situations in which a single element of the Agency

Document record should be part of archival program & not an adjunct report

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provided all or most of the Agency participation in any one activity. There will be occasions also when sensitivity will require that any analytical review of an operation be conducted in a most restricted fashion. This will apply to many Clandestine Services histories. Priority will be given to establishing the basic Agency history of the more prominent operations and activities in which the Agency has been engaged, e.g., Cuban Missile Crisis, Bay of Pigs, War in Vietnam, [redacted] U-2 Operations, etc., with particular attention to lessons derived from these experiences and establishing a convenient method of immediate response to public or congressional inquiries on these prominent events. Histories will in the future depend upon the Annual Reports for much raw material and identification of key documents through the Archives Program. The Agency Historian will be an ex-officio member of the Records Management Board, will report directly to the Executive Director, and will work in close coordination with the Agency Archivist and the Agency Records Management Officer.

6. Interim Period.

In many areas it will be essential to produce one-time reports to cover the years from 1965 (or the most recent history) to the current Annual Report. This will be undertaken by each unit identified to submit future Annual Reports. In those situations in which an over-all Agency history to be produced will cover the period in question, a separate Annual Report need not be developed, (e.g., [redacted] the War in Vietnam) as the necessary chronicle and Archives can be developed at the same time as the analytical history. In other cases, however, a one-time effort to catch up to the current annual report system will be necessary and this will be undertaken by the unit in question. This activity will be supervised by the Agency Historian and Archivist.

W. E. Colby
Executive Director-Comptroller

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records for Federal agencies pending their deposit with the National Archives of the United States or their disposition in any other manner authorized by law; and to establish, maintain, and operate centralized microfilming services for Federal agencies.

"(c) Subject to applicable provisions of law, the Administrator shall promulgate regulations governing the transfer of records from the custody of one executive agency to that of another.

"(f) The Administrator may empower any Federal agency, upon the submission of evidence of need therefor, to retain records for a longer period than that specified in disposal schedules approved by Congress, and, in accordance with regulations promulgated by him, may withdraw disposal authorizations covering records listed in disposal schedules approved by Congress.

"RECORDS MANAGEMENT; AGENCY HEADS

"Sec. 506. (a) The head of each Federal agency shall cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

"(b) The head of each Federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. Such program shall, among other things, provide for (1) effective controls over the creation, maintenance, and use of records in the conduct of current business; (2) cooperation with the Administrator in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and (3) compliance with the provisions of this title and the regulations issued thereunder.

"(c) Whenever the head of a Federal agency determines that substantial economies or increased operating efficiency can be effected thereby, he shall provide for the storage, processing, and servicing of records that are appropriate therefor in a records center maintained and operated by the Administrator or, when approved by the Administrator, in such a center maintained and operated by the head of such Federal agency.

"(d) Any official of the Government who is authorized to certify to facts on the basis of records in his custody, is hereby authorized to certify to facts on the basis of records that have been transferred by him or his predecessors to the Administrator.

"(e) The head of each Federal agency shall establish such safeguards against the removal or loss of records as he shall determine to be necessary and as may be required by regulations of the Administrator. Such safeguards shall include making it known to all officials and employees of the agency (1) that no records in the custody of the agency are to be alienated or destroyed except in accordance with the provisions of the Act approved July 7, 1943 (57 Stat. 380-383), as amended July 6, 1945 (59 Stat. 434), and (2) the penalties

(Pub. Law 764)

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provided by law for the unlawful removal or destruction of records.

"(f) The head of each Federal agency shall notify the Administrator of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the agency of which he is the head that shall come to his attention, and with the assistance of the Administrator shall initiate action through the Attorney General for the recovery of records he knows or has reason to believe have been unlawfully removed from his agency, or from any other Federal agency whose records have been transferred to his legal custody.

"(g) Nothing in this title shall be construed as limiting the authority of the Comptroller General of the United States with respect to prescribing accounting systems, forms, and procedures, or lessening the responsibility of collecting and disbursing officers for rendition of their accounts for settlement by the General Accounting Office.

"ARCHIVAL ADMINISTRATION

"SEC. 507. (a) The Administrator, whenever it appears to him to be in the public interest, is hereby authorized—

"(1) to accept for deposit with the National Archives of the United States the records of any Federal agency or of the Congress of the United States that are determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government;

"(2) to direct and effect, with the approval of the head of the originating agency (or if the existence of such agency shall have been terminated, then with the approval of his successor in function, if any), the transfer of records deposited (or approved for deposit) with the National Archives of the United States to public or educational institutions or associations: *Provided*, That the title to such records shall remain vested in the United States unless otherwise authorized by Congress; and

"(3) to direct and effect the transfer of materials from private sources authorized to be received by the Administrator by the provisions of subsection (c) of this section.

"(b) The Administrator shall be responsible for the custody, use, and withdrawal of records transferred to him: *Provided*, That whenever any records the use of which is subject to statutory limitations and restrictions are so transferred, permissive and restrictive statutory provisions with respect to the examination and use of such records applicable to the head of the agency from which the records were transferred or to employees of that agency shall thereafter likewise be applicable to the Administrator, the Archivist, and to the employees of the General Services Administration, respectively: *Provided further*, That whenever the head of any agency shall specify in writing restrictions that appear to him to be necessary or desirable in the public interest, on the use or examination of records being considered for transfer from his custody to the Administrator, the Administrator shall impose such restrictions on the records so transferred, and shall not remove or relax such restrictions without the concurrence in writing of the head of the agency from which the material shall have been transferred (or if the existence of such agency shall have been terminated, then he shall not remove or relax such restrictions without

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AGENCY GENERAL COUNSEL OPINION

2 OCTOBER 1950

COMPLIANCE WITH PROVISIONS OF LAW PERTAINING TO
FEDERAL RECORDS

- "1. THE CENTRAL INTELLIGENCE AGENCY MUST COMPLY WITH
THE RECORDS DISPOSAL ACT.

[REDACTED]

2. THE CENTRAL INTELLIGENCE AGENCY SHOULD COMPLY WITH
PUBLIC LAWS 152 AND 754 WHENEVER POSSIBLE, EVEN
THOUGH EACH SPECIFICALLY EXEMPTS CIA FROM ITS PRO-
VISIONS.

[REDACTED]

3. THE CENTRAL INTELLIGENCE AGENCY SHOULD COMPLY WITH
EXECUTIVE ORDER 9784* WHENEVER POSSIBLE, ALTHOUGH IT
DOES NOT REQUIRE DISCLOSURE OF CONFIDENTIAL INFOR-
MATION WHICH WOULD ENDANGER THE NATIONAL INTEREST OR
LIVES OF INDIVIDUALS. CONSEQUENTLY, NO RELIANCE
UPON PUBLIC LAW 253 SEEMS NECESSARY.

4.

[REDACTED]

* Dated Sept. 25, 1946. Provides for the more
efficient use and for the transfer and other
disposition of Gov't records.

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8 March 1972

NOTES FOR ORAL ADDENDUM TO DISCUSS WITH MR. COLBY ON HIS ARCHIVES PROGRAM

1. I don't think the Deputies will have any big trouble buying your proposal that the Records Management Board report to the Executive Director and that they should start working on archives by assigning this as a part-time job to their directorate senior RMO's. This represents only a slight change in the present status quo in what we are now doing in records and archives. As I see it, the new ingredients are:

A. By having the Records Management Board report directly to you, you could sandbag the Deputies if the Board reports inactivity or comes up with proposals that will require significant action on the part of the Deputies. That is, give them a year to generate the archives program under your proposal and let them fall on their face.

B. The appointment of full-time professional archivist is a step in the right direction but I think Professor Erhmann's comments indicate that one man working for you in this area without command control under directorate archives will rapidly sink in the bureaucratic quagmire.

2. I wonder if we can really expect honest, hard hitting reporting by a Records Management Board to you on delinquencies in their directorate's records and archives programs if it is going to result in your issuing directives for corrective action to their bosses, i.e., the Deputy Directors. This certainly would put the Board members in an extremely awkward position.

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22 JAN 1972

MEMORANDUM FOR: Deputy Director for Support

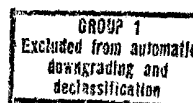
SUBJECT : Records Management; Comments on Issues
Mentioned in Mr. Colby's 14 January
1972 Memorandum to the Director,
Same Subject

1. Mr. Colby's memorandum detailing his approach and proposed action on the Records Management Program covers issues we have been struggling with for several years. The special IG report which triggered Mr. Colby's memorandum to the Director is basically a fair and accurate comment on the current status and recent history of the Agency's posture on records management activities. I have some minor misgivings about certain items in the IG summary and will comment on these in a separate note. Set forth below is my initial reaction to items mentioned in paragraph 2 of Mr. Colby's memorandum.

2. Concerning Item 2A on breathing new life into the Records Management Board and having it report directly to the Executive Director; I have no trouble with Mr. Colby's desire to maintain decentralized administration of our records, this is a fact of life and we must live with it whether we like it or not. However, as you and Mr. Wattles know, I have felt for some time now that the Records Management Board as it is now constituted is simply not capable of dealing with the basic problems confronting us in records management. Paragraphs 3 and 4 of my memorandum of 11 June 1970 (attached) detail the deficiencies of the Board (I have been over this ground orally with you and Mr. Wattles several times). After coping with this unhappy situation for more than two years, I have reached the conclusion that we should call a spade a spade and admit that the Board has served its usefulness and should be downgraded to a panel or committee simply to keep an institutionalized channel for the CIA/RMO [redacted] or his successor) to meet with the directorate senior RMO's and report on their activities to me or to you. We would continue to report significant program activity (or inactivity) to the Executive Director.

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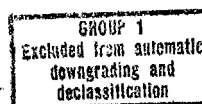
3. I see no way of breathing new life into the Board unless we are prepared to make some major changes in its membership and even then I doubt if it would be any more effective in the records management arena than the Information Processing Board has been in managing the Agency's information processing activities. I am convinced that Mr. Colby would be horrified at the product and surely mislead if our current Records Management Board were to report directly to him. As you may know, I have to personally nurse each Records Management Board report through a series of drafts and rewrites (in the process correcting basic misstatements of fact) before their reports make sense to me, let alone anyone farther removed from the records program than myself. If the Board is to report directly to Mr. Colby as he suggests, we would have to upgrade the membership and this then becomes a problem in every directorate. We would need people at the supergrade level [REDACTED]

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as members from their respective directorates. I am at a loss to identify an officer, knowledgeable of our records program, and sufficiently senior in grade to effectively chair this group. Perhaps you would be willing to commit Mr. Wattles to this task and have Support Services Staff do the leg work. Even a "power-group" as this would have difficulty generating action on directorate records programs unless the deputies are prepared to commit more full-time personnel to the program.

4. With regard to paragraph 2b of Mr. Colby's memorandum, he is quite correct in pointing out that CIA records do indeed vary considerably in nature and sensitivity. Certainly we have, in the existing records control schedules, the mechanisms by which the distinctions between records can be drawn, refined and specific categories of records identified as susceptible to retirement to a GSA facility. Unfortunately, while this would relieve storage pressures at our CIA Records Center, we fear that the reference service which GSA can provide will not prove adequate (in either timeliness or extent) for CIA requirements. We believe that the categories of CIA records can be established as Mr. Colby suggests; we are not at all confident that we can assure satisfactory servicing of these records or security protection anywhere approaching our standards once they have been placed in a Federal repository. We welcome Mr. Colby's support of this concept; we will pursue it further with vigor.

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~~EYES ONLY~~

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5. Regarding paragraph 2c of Mr. Colby's memorandum, we thoroughly endorse the need to establish better relationships between the archives, historical, and records management programs and urge that this be extended to the command echelons in each component to obtain their support in managing these programs. In a separate memorandum we are proposing the establishment of a formal archives program and we have been in regular contact with the Chief, CIA Historical Staff in the development of this proposal. We believe we have, in the associated proposed archives regulation [redacted] incorporated and facilitate closer association between these programs. Further, our records management people throughout the Agency currently are engaged in writing records retention plans, the purpose of which is to establish clearly which component is the office-of-record for specific categories of permanent records thus making it possible to dispose of duplicate copies held by, or in behalf of, other components. To insure success of this latter program, the attention and support of senior management in each component must be secured. The IG report substantiates this.

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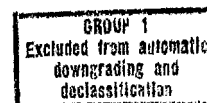
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Chief, Support Services Staff

Attachment

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